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TRANSMISSION OF INFORMATION DISCLOSURE STATEMENT

(Under 37 CFR 1.97(b) or 1.97(c))

Docket No.

13220

JUN 04 2001

In Re Application Of: Takashi Tomoeda

|                          |                                 |                        |                        |
|--------------------------|---------------------------------|------------------------|------------------------|
| Serial No.<br>09/453,153 | Filing Date<br>December 2, 1999 | Examiner<br>Unassigned | Group Art Unit<br>2748 |
|--------------------------|---------------------------------|------------------------|------------------------|

Title: CONTINUOUS SPEECH RECOGNITION APPARATUS AND METHOD

Address to:

Assistant Commissioner for Patents  
Washington, D.C. 20231

**37 CFR 1.97(b)**

1.  The Information Disclosure Statement submitted herewith is being filed within three months of the filing of a national application; within three months of the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; or before the mailing date of a first Office Action on the merits, whichever event occurs last.

**37 CFR 1.97(c)**

2.  The Information Disclosure Statement submitted herewith is being filed after three months of the filing of a national application, or the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; or after the mailing date of a first Office Action on the merits, whichever occurred last but before the mailing date of either:
  1. a Final Action under 37 CFR 1.113, or
  2. a Notice of Allowance under 37 CFR 1.311,  
whichever occurs first.

Also submitted herewith is:

- a certification as specified in 37 CFR 1.97(e);

**OR**

- the fee set forth in 37 CFR 1.17(p) for submission of an Information Disclosure Statement under 37 CFR 1.97(c).

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JUN 17 2001

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## TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT

(Under 37 CFR 1.97(b) or 1.97(c))

Docket No.

13220

In Re Application Of: **Takashi Ymoeda**

JUN 04 2001

Serial No.

09/453,153



Filing Date

December 2, 1999

Examiner

Unassigned

Group Art Unit

2748

Title: **CONTINUOUS SPEECH RECOGNITION APPARATUS AND METHOD****Payment of Fee**

(Only complete if Applicant elects to pay the fee set forth in 37 CFR 1.17(p))

- A check in the amount of \_\_\_\_\_ is attached.
- The Assistant Commissioner is hereby authorized to charge and credit Deposit Account No. 19-1013/SSMP as described below. A duplicate copy of this sheet is enclosed.
- Charge the amount of \_\_\_\_\_
- Credit any overpayment.
- Charge any additional fee required.

**Certificate of Transmission by Facsimile\***

I certify that this document and authorization to charge deposit account is being facsimile transmitted to the United States Patent and Trademark Office (Fax No. \_\_\_\_\_) on \_\_\_\_\_

(Date)

Signature

Typed or Printed Name of Person Signing Certificate

**Certificate of Mailing by First Class Mail**

I certify that this document and fee is being deposited on 6/1/01 with the U.S. Postal Service as first class mail under 37 C.F.R. 1.8 and is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

Signature of Person Mailing Correspondence

Janet Grossman

Typed or Printed Name of Person Mailing Correspondence

\*This certificate may only be used if paying by deposit account.

Signature

Paul J. Esatto, Jr.  
Registration No. 30,749

Scully, Scott, Murphy & Presser  
400 Garden City Plaza  
Garden City, NY 11530  
(516)742-4343

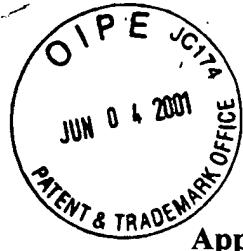
Dated: June 1, 2001

RE

JUN 07 2001

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CC:



#21  
6-7-01  
JC  
PATENT

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

**Applicant(s):** Takashi Tomoeda

**Docket:** 13220

**Serial No.:** 09/453,153

**Examiner:** Unassigned

**RECEIVED**

**Filed:** December 2, 1999

**Group Art Unit:** 2748

**JUN 07 2001**

**For:** CONTINUOUS SPEECH RECOGNITION  
APPARATUS AND METHOD

**Dated:** June 1, 2001

**Technology Center 2600**

Assistant Commissioner for Patents  
Washington, D.C. 20231

**INFORMATION DISCLOSURE STATEMENT**

Sir:

In accordance with 37 C.F.R §§1.97 and 1.98, it is requested that the following references, which are also listed on the attached Form PTO-1449, be made of record in the above-identified case.

1. Japanese Laid-Open Patent Application No. 6-102897, published April 15, 1994;
2. Japanese Laid-Open Patent Application No. 6-308994, published November 4, 1994;
3. Japanese Laid-Open Patent Application No. 7-104780, published April 21, 1995

The references were cited in an Official Action dated March 6, 2001 received

**CERTIFICATE OF MAILING UNDER 37 C.F.R. § 1.8(a)**

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, DC 20231 on June 1, 2001.

Dated: June 1, 2001

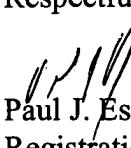
Janet Grossman  
Janet Grossman

from the Japanese Patent Office. Applicant is submitting copies of the above-cited references, together with a translation of the Examiner's comments regarding the references from the Official Action. The relevance of the references are described in the Official Action.

In compliance with the requirements of 37 C.F.R. §1.98(a)(3), as a concise statement of relevance, as it is presently understood by the individual designated in 37 C.F.R. §1.56(c) most knowledgeable about the content of the information, the undersigned attorney of record submits a translation of portions of an official action by a foreign examiner in which the references were cited. The relevance to the pending U.S. patent application is that the references were cited in a foreign patent application on the same subject matter. However, no independent analysis of the references, the accuracy of the statement of the foreign examiner or the claims of the foreign application under the laws of that country or the United States relative to the subject matter claimed in the present application has been made; the present understanding of the contents thereof by the undersigned being based on the translation of the foreign examiner's comments submitted herewith.

Inasmuch as this Information Disclosure Statement is being submitted in accordance with the schedule set out in 37 C.F.R. § 1.97(b), no statement or fee is required.

Respectfully submitted,

  
Paul J. Esatto, Jr.  
Registration No. 30,749

Scully, Scott, Murphy & Presser  
400 Garden City Plaza  
Garden City, New York 11530  
(516) 742-4343

PJE:lf



UNITED STATES PATENT AND TRADEMARK OFFICE  
VERIFICATION OF A TRANSLATION

I, the below named translator, hereby declare that:

My name and post office address are as stated below;

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That I am knowledgeable in the English language and in the Japanese language, and that I believe the English translation of the marked portion of the attached Japanese document is true and complete.

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Date: April 4, 2001

Full name of the translator: Katharine Ann SMALLEY BSc,

Signature of translator :

A handwritten signature in cursive ink that appears to read "Katharine Ann Smalley".

For and on behalf of RWS Group plc

Post Office Address : Europa House, Marsham Way,  
Gerrards Cross, Buckinghamshire,  
England.

(With regard to claims 1, 2, 8, 9 and 10)

Performing continuous speech recognition by the beam search of a tree structure is disclosed in cited documents 1 and 2 hereinbelow.

Making the systems of cited documents 1 and 2 hereinbelow such that the addition of part(s) of speech data and the branch pruning of the beam search is performed could easily be achieved by those skilled in the art based on the disclosure of cited document 3 hereinbelow.

List of cited documents, etc.

1. Japanese laid-open patent application H6-102897
  2. Japanese laid-open patent application H7-104780
  3. Japanese laid-open patent application H6-308994
- 

Record of the results of the prior art documents search

- Field searched                   IPC edition 7 G10L15/00  
                                       DB name